

PTO-1449	Application No. Unknown	Applicant(s) Thomas J. Daley et al.	
	Docket Number 069547.0175	Group Art Unit Unknown	Filing Date January 29, 2004

**Information Disclosure Citation
In an Application**

U.S. PATENT DOCUMENTS

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/G.V./	N	Patent Pending Application entitled, "System and Method for Routing a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0163, 64 pages including drawings	filing date January 29, 2004
/G.V./	O	Patent Pending Application entitled, "System and Method for Routing a Trading Order According to Price," by Thomas J. Daley et al., attorney docket no. 069547.0173, 72 pages including drawings	filing date January 29, 2004
/G.V./	P	Patent Pending Application entitled, "System and Method for Controlling the Disclosure of a Trading Order," by Thomas J. Daley et al., attorney docket no. 069547.0174, 66 pages including drawings	filing date January 29, 2004
/G.V./	Q	Patent Pending Application entitled, "System and Method for Matching Trading Orders," by Thomas J. Daley et al., attorney docket no. 069547.0176, 74 pages including drawings	filing date January 29, 2004
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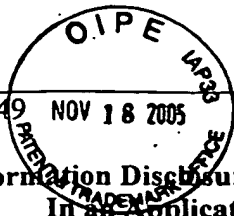
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U.S. PATENT AND TRADEMARK OFFICE

DAL01:778382.1



PTO-1449 NOV 18 2005 Information Disclosure Citation In an Application	Application No. 10/766,965	Applicant(s) Thomas J. Daley, et al.	
	Docket Number 069547.0175	Group Art Unit 3624	Filing Date January 29, 2004

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G.V./A		2004/0210505 A1	10/21/2004	Pourhamid	705	37	04/17/2003
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G.V./P		Notification of Transmittal of the International Search Report for Application no. PCT/US05/03166; 4 pages.	11/04/2005
G.V./Q		Written Opinion of the International Searching Authority for Application No. PCT/US05/03166; 5 pages.	11/04/2005
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U.S. PATENT DOCUMENTS								
		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE	
/G.V./		4,412,287	10/25/1983	Braddock, III	364	408	09/15/1982	
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/G.V./	E	2002/0023037 A1	02/21/2002	White, Jr.	705	37	11/05/2001	
/G.V./	F	2005/0171890 A1	08/04/2005	Daley, et al.	705	37	01/29/2004	
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		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
/G.V./	T	WO 00/11587 A1	03/02/2000	PCT	G06F	17/60	YES	NO
/G.V./	U	WO 01/54037 A1	07/26/2001	PCT	G06F	17/60	X	
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)						DATE
/G.V./		Notification of Transmittal of The International Search Report, International Application No. PCT/US05/03159, 4 pages.						02/24/2006
/G.V./		Written Opinion of the International Searching Authority, International Application No. PCT/US05/03159, 7 pages.						02/24/2006
/G.V./		How to Match Trades and Quotes for NYSE Stocks? Olivier Vergote and K.U. Leuven, Abstract, 21 pages.						03/2005
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/G.V.	A	2001/0042040 A1	11/15/2001	Keith	705	37	03/08/2001
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/G.V.	P	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03164, 6 pages.	12/13/2006
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/G.V.	P	<i>Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03163; 9 pages.</i>	01/04/2007
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/G.V.	K	WO 01/75752 A2	10/11/2001	PCT	G06F	17/60		
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/G.V.	P	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03168; 6 pages.	01/29/2007
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G.V.	K	WO 01/77946 A1	10/18/2001	PCT	G06F	17/60	
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)					DATE
	P	European Patent Office Communication for Application No 05712564.3 - 1238; 3 pages.					01/08/2007
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	A	5,950,177	09/07/1999	Lupien, et al.	705	37	07/15/1997
	B	6,012,046	01/04/2000	Lupien, et al.	705	37	10/16/1997
	C	6,098,051	08/01/2000	Lupien, et al.	705	37	04/26/1996
	D	2003/0097325 A1	05/22/2003	Friesen, et al.	705	37	04/09/1999
	E	2003/0177086 A1	09/18/2003	Gomber, et al.	705	37	12/02/2002
	F	2004/0236636 A1	11/25/2004	Lutnick, et al.	705	26	10/02/2003
	G	2005/0108141 A1	05/19/2005	Farrell, et al.	705	37	11/14/2003

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/G.V.	H	EP 0 388 162 A2 & A3	03/14/1990	EPO	G06F	15/30		
/G.V.	I	GB 2 389 687 A	12/17/2003	UK	G06F	17/60		
/G.V.	J	GB 2 411 492 A	08/31/2005	UK	G06F	17/60		
/G.V.	K	WO 00/26834 A2 & A3	05/11/2000	PCT	G06F	17/60		
/G.V.	L	WO 01/09757 A2	02/08/2001	PCT	G06F	17/00		
/G.V.	M	WO 01/25996 A1	04/12/2001	PCT	G06F	17/60		
/G.V.	N	WO 01/52150 A1	07/19/2001	PCT	G06F	17/60		
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/G.V.	P	Parlour, Christine; <i>Price Dynamics in Limit Order Markets</i> ; Queen's University, Kingston, Ontario, Canada; 111 pages.	11/1995
/G.V.	Q	Weber, Bruce; <i>Screen-Based Trading in Futures Markets: Recent Developments and Research Propositions</i> ; Abstract; ISBN 0 7695 0001 3; 1 page.	1999
/G.V.	R	<i>Balance of Trade</i> ; Banking Technology; Vol. 20, No. 9; ISSN 0266-0865; pages 42-44.	11/2004
/G.V.	S	Patent Pending Application Serial No. 11/499,833 entitled <i>System and Method for Matching Trading Orders Based on Priority</i> by Matthew W. Claus, et al.; Atty Docket No. 069547.0267; 46 total pages.	filed 08/03/2006

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/G.V./	A	2003/0216932 A1	11/20/2003	Foley	705	1	11/07/2002
/G.V./	B	2004/0143538 A1	07/22/2004	Korhammer, et al.	705	37	01/21/2003
/G.V./	C	2004/0215538 A1	10/28/2004	Smith, et al.	705	35	04/24/2003
/G.V./	D	2005/0055304 A1	03/10/2005	Lutnick, et al.	705	37	07/13/2004
/G.V./	E	2006/0149662 A1	07/06/2006	Nordlicht, et al.	705	37	03/07/2006
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		DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
/G.V./	N	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US06/30638; 8 pages.	04/20/2007
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PTO-1449 Information Disclosure Citation In an Application			Application No. 10/766,965		Applicant(s) Thomas J. Daley, et al.		
			Docket Number 069547.0175	Group Art Unit 4132	Filing Date January 29, 2004		

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		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
/G.V./	A	5,727,165	03/10/1998	Ordish, et al.	395	237	12/27/1994
/G.V./	B	7,110,969 B1	09/19/2006	Bennett, et al.	705	35	07/26/2000
/G.V./	C	7,242,669 B2	07/10/2007	Bundy, et al.	370	252	12/04/2000
/G.V./	D	2002/0091606 A1	07/11/2002	Shapiro	705	36	01/11/2001
/G.V./	E	2002/0156719 A1	10/24/2002	Finebaum, et al.	705	37	11/15/2001
/G.V./	F	2003/0101128 A1	05/29/2003	Abernethy	705	37	11/29/2001
/G.V./	G	2006/0015436 A1	01/19/2006	Burns, et al.	705	37	09/30/2004
/G.V./	H	2007/0156574 A1	07/05/2007	Marynowski, et al.	705	37	02/12/2007
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/G.V./	P	USPTO Office Action Summary for Application No. 10/767,699; filed January 29, 2004; Attorney Docket No. 069547.0174; 22 pages.	10/26/2007
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	Docket Number 069547.0175		Group Art Unit 4132	Filing Date January 29, 2004

**Information Disclosure Citation
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U.S. PATENT DOCUMENTS

		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE
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G.V.	B	3,581,072	05/25/1971	Nymeyer	235	152	03/28/1968
G.V.	C	2002/0178104 A1	11/28/2002	Hausman	705	37	04/20/2001
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PTO-1449 Information Disclosure Citation In an Application		Application No. 10/766,965		Applicant(s) Thomas J. Daley, et al.		
		Docket Number 069547.0175	Group Art Unit 3694	Filing Date January 29, 2004		

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/G.V.	P	European Patent Office Examination Report for Application No. 05 712 564.3 - 1238; 5 pages.	11/14/2007
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DAL01:988088

PTO-1449	Application No. 10/766,965		Applicant(s) Thomas J. Daley, et al.	
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/G.V./P		European Patent Office Examination Report for Application No. 05 712 566.8 - 1238; 5 pages.	11/14/2007
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G.V./	P	<i>United States Patent and Trademark Office: Office Action for Application No. 10/767,588, filed 01/29/2004, in the name of Thomas J. Daley; Examiner Thu Thao Havan; Attorney Docket No. 069547.0173; 19 pages.</i>	01/11/2008
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